

PROCESSORS' QUESTIONNAIRE
CERTAIN FROZEN WARMWATER SHRIMP AND PRAWNS FROM
INDIA AND THAILAND

Return completed questionnaire to:

UNITED STATES INTERNATIONAL TRADE COMMISSION
Office of Investigations, Room 615
500 E Street, SW, Washington, DC 20436

So as to be received by the Commission by no later than August 4, 2005

The information called for in this questionnaire is for use by the United States International Trade Commission in connection with its changed circumstances reviews concerning certain frozen warmwater shrimp and prawns from India and Thailand (invs. Nos. 751-TA-28-29). The information requested in the questionnaire is requested under the authority of the Tariff Act of 1930, title VII. This report is mandatory and failure to reply as directed can result in a subpoena or other order to compel the submission of records or information in your possession (19 U.S.C. § 1333(a)).

Name of firm _____
Address _____
City _____ State _____ Zip code _____
World Wide Web address _____

Has your firm processed certain frozen warmwater shrimp and prawns (as defined in the instruction booklet) at any time since January 1, 2001?

☐

NO (Sign the certification below and promptly return only this page of the questionnaire to the Commission)

☐

YES (Read the instruction booklet carefully, complete all parts of the questionnaire, sign the certification, and return the entire questionnaire to the Commission)

CERTIFICATION

I certify that the information herein supplied in response to this questionnaire is complete and correct to the best of my knowledge and belief and understand that the information submitted is subject to audit and verification by the Commission.

By signing this certification I also grant consent for the Commission, and its employees and contract personnel, to use the information provided in this questionnaire and throughout these investigations in any other import-injury investigation conducted by the Commission on the same or similar merchandise. (If you do not consent to such use, please note the certification accordingly.)

I acknowledge that information submitted in this questionnaire response and throughout these investigations may be used by the Commission, its employees, and contract personnel who are acting in the capacity of Commission employees, for developing or maintaining the records of these investigations or related proceedings for which this information is submitted, or in internal audits and investigations relating to the programs and operations of the Commission pursuant to 5 U.S.C. Appendix 3. I understand that all contract personnel will sign non-disclosure agreements.

Name and Title of Authorized Official

Date

Signature of Authorized Official

()

Phone

()

Fax

PART I.--GENERAL QUESTIONS

The questions in this questionnaire have been reviewed with market participants to ensure that issues of concern are adequately addressed and that data requests are sufficient, meaningful, and as limited as possible. Public reporting burden for this questionnaire is estimated to average 30 hours per response, including the time for reviewing instructions, searching existing data sources, gathering the data needed, and completing and reviewing the questionnaire. Send comments regarding the accuracy of this burden estimate or any other aspect of this collection of information, including suggestions for reducing the burden, to the Office of Investigations, U.S. International Trade Commission, 500 E Street, SW, Washington, DC 20436.

- I-1. Please report below the actual number of hours required and the cost to your firm of preparing the reply to this questionnaire and completing the form.

_____ hours _____ dollars

- I-2. Provide the name and address of establishment(s) covered by this questionnaire (see page 3 of the instruction booklet for reporting guidelines). If your firm is publicly traded, please specify the stock exchange and trading symbol.

- I-3. Is your firm owned, in whole or in part, by any other firm?

☐ No ☐ Yes--List the following information.

<u>Firm name</u>	<u>Address</u>	<u>Extent of ownership</u>
_____	_____	_____
_____	_____	_____

- I-4. Does your firm have any related firms, either domestic or foreign, which are engaged in importing certain frozen warmwater shrimp and prawns from India and/or Thailand into the United States or which are engaged in exporting certain frozen warmwater shrimp and prawns from India and/or Thailand to the United States?

☐ No ☐ Yes--List the following information.

<u>Firm name</u>	<u>Address</u>	<u>Affiliation</u>
_____	_____	_____
_____	_____	_____

PART II.--TRADE AND RELATED INFORMATION--Continued

- II-3. Does your firm produce other products on the same equipment and machinery used in the production of certain frozen warmwater shrimp and prawns?

☐ No ☐ Yes--List the following information.

Basis for allocation of capacity data (e.g., sales): _____

Products produced on same equipment and share of total production in 2004 (in percent):

<u>Product</u>	<u>Percent</u>	<u>Product</u>	<u>Percent</u>
Certain frozen warmwater shrimp and prawns	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

- II-4. Please describe the constraint(s) that set the limit(s) on your production capabilities (e.g., unavailability of sufficient supplies of raw shrimp, labor shortage, equipment malfunction, etc). Additionally, please indicate the annual average number of days your firm operated its processing facility during 2001-2004.

- II-5. Does your firm produce other products using the same production and related workers employed to produce certain frozen warmwater shrimp and prawns?

☐ No ☐ Yes--List the following information.

Basis for allocation of employment data (e.g., sales): _____

Products produced using the same workers and share of total production in 2004 (in percent):

<u>Product</u>	<u>Percent</u>	<u>Product</u>	<u>Percent</u>
Certain frozen warmwater shrimp and prawns	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

PART II.--TRADE AND RELATED INFORMATION--Continued

II-6. Since July 1, 2004, has your firm been involved in a toll agreement (see definition in the instruction booklet) regarding the production of certain frozen warmwater shrimp and prawns?

☐ No ☐ Yes--Name of firm: _____

II-7. Does your firm produce certain frozen warmwater shrimp and prawns in a foreign trade zone (FTZ)?

☐ No ☐ Yes--Identify FTZ(s): _____

II-8. Since July 1, 2004, has your firm imported certain frozen warmwater shrimp and prawns ?

☐ No ☐ Yes--**COMPLETE AND RETURN THE ENCLOSED IMPORTERS' QUESTIONNAIRE**

NOTE: In the event your firm submitted a Processors' Questionnaire during the course of Investigation Nos. 731-TA-1063-1068 (Final), Certain frozen or canned warmwater shrimp and prawns from Brazil, China, Ecuador, India, Thailand, and Vietnam, you may simply copy the data you provided for 2001, 2002, 2003, and January-June 2004 (see question II-9), leaving you full-year 2004 and January-June 2005 data to complete.

PART II.--TRADE AND RELATED INFORMATION--Continued

- II-9. Report your firm's production capacity, production, shipments, inventories, and employment related to the production of **certain frozen warmwater shrimp and prawns** in your U.S. establishment(s) during the specified periods. (See definitions in the instruction booklet.)
Note: Do not report canned product.

(Quantity in 1,000 pounds, value in \$1,000)						
Item	Calendar years				January-June	
	2001	2002	2003	2004	2004	2005
AVERAGE PRODUCTION CAPACITY ¹ (quantity)						
BEGINNING-OF-PERIOD INVENTORIES (quantity)						
PRODUCTION (quantity)						
U.S. SHIPMENTS:						
Commercial shipments:						
Quantity of commercial shipments						
Value of commercial shipments						
Internal consumption:						
Quantity of internal consumption						
Value ² of internal consumption						
Transfers to related firms:						
Quantity of transfers to related firms						
Value ² of transfers to related firms						
EXPORT SHIPMENTS:³						
Quantity of export shipments						
Value of export shipments						
END-OF-PERIOD INVENTORIES ⁴ (quantity)						
U.S. SHIPMENTS TO DISTRIBUTORS (quantity)						
U.S. SHIPMENTS TO PROCESSORS (quantity)						
U.S. SHIPMENTS TO RETAILERS ⁵ / INSTITUTIONAL BUYERS ⁶ (quantity)						
AVERAGE NUMBER OF PRWs						
HOURS WORKED BY PRWs (1,000 hours)						
WAGES PAID TO PRWs (value)						

¹ The production capacity (see definitions in instruction booklet) reported is based on operating _____ hours per week, _____ weeks per year. Please describe the methodology used to calculate production capacity, and explain any changes in reported capacity (use additional pages as necessary).

² Internal consumption and transfers to related firms must be valued at fair market value. In the event that you use a different basis for valuing these transactions, please specify that basis (e.g., cost, cost plus, etc.) and provide value data using that basis for 2001, 2002, 2003, and 2004 below:

³ Identify your principal export markets: _____

⁴ Reconciliation of data--Please note that the **quantities** reported above should reconcile as follows: beginning-of-period inventories, plus production, less total shipments, equals end-of-period inventories. Do the data reported reconcile?

☐ Yes ☐ No--Please explain: _____

⁵ Entities that purchase and resell to end users (i.e., supermarket and other retailers that sell to customers).

⁶ Entities such as restaurants, hotels, hospitals, etc.

Note.--The sum of shipments to distributors, processors, and retailers/institutional buyers should equal U.S. commercial shipments reported above; it should exclude U.S. shipments to related firms and for internal consumption.

- II-10. If you reported transfers to related firms in question II-9, please indicate the nature of the relationship between your firm and the related firms (e.g., joint venture, wholly owned subsidiary), whether the transfers were priced at market value or by a non-market formula, whether your firm retained marketing rights to all transfers, and whether the related firms also processed inputs from sources other than your firm.

- II-11. Report your firm's U.S. shipments related to the production of **certain frozen warmwater shrimp and prawns** in your U.S. establishment(s) during the specified periods. (See definitions in the instruction booklet.) **Note: Do not report canned product.**

(Quantity in 1,000 pounds, value in \$1,000)				
Item	January-March		April-June	
	2004	2005	2004	2005
U.S. SHIPMENTS:				
Commercial shipments:				
Quantity of commercial shipments				
Value of commercial shipments				
Internal consumption:				
Quantity of internal consumption				
Value ² of internal consumption				
Transfers to related firms:				
Quantity of transfers to related firms				
Value ² of transfers to related firms				

NOTE: In the event your firm submitted a Processors' Questionnaire during the course of Investigation Nos. 731-TA-1063-1068 (Final), Certain frozen or canned warmwater shrimp and prawns from Brazil, China, Ecuador, India, Thailand, and Vietnam, you may simply copy the data you provided for 2001, 2002, 2003, and January-June 2004 (see question II-12), leaving you full-year 2004 and January-June 2005 data to complete.

II-12. Other than direct imports, has your firm otherwise purchased certain frozen warmwater shrimp and prawns since January 1, 2001? (See definitions in the instruction booklet.)

☐ No ☐ Yes--Report such purchases below for the specified periods.¹

(Quantity in 1,000 pounds, value in \$1,000)						
Item	Calendar years				January-June	
	2001	2002	2003	2004	2004	2005
PURCHASES FROM U.S. IMPORTERS² OF PRODUCT FROM--						
INDIA:						
Quantity						
Value						
THAILAND:						
Quantity						
Value						
BRAZIL:						
Quantity						
Value						
CHINA:						
Quantity						
Value						
ECUADOR:						
Quantity						
Value						
VIETNAM:						
Quantity						
Value						
ALL OTHER COUNTRIES:						
Quantity						
Value						
PURCHASES FROM DOMESTIC PRODUCERS:²						
Quantity						
Value						
PURCHASES FROM OTHER SOURCES:²						
Quantity						
Value						
¹ Please indicate your reasons for purchasing this product. If your reasons differ by source, please elaborate.						
² Please list the name of the firm(s) from which you purchased this product. If your suppliers differ by source, please identify the source for each listed supplier.						

II-13. For periods specified below, provide the share (in percent) of your commercial shipments of certain frozen warmwater shrimp and prawns that were:

2004: farmed _____ wild-caught _____ = 100 percent

Jan.-Mar. 2005: farmed _____ wild-caught _____ = 100 percent

April-June 2005: farmed _____ wild-caught _____ = 100 percent

PART III.--FINANCIAL INFORMATION

Address questions on this part of the questionnaire to **John Ascienzo (202-205-3175; john.ascienzo@usitc.gov)**.

- III-1. Who should be contacted regarding the requested financial information? List the names, titles, and phone numbers, including extensions, of the people who actually prepared and/or have actual knowledge of this response.

Company contact:

Name and title

Phone No./Extension

E-mail address

Your company's World Wide Website: _____

NOTE: In the event your firm submitted a Processors' Questionnaire during the course of Investigation Nos. 731-TA-1063-1068 (Final), Certain frozen or canned warmwater shrimp and prawns from Brazil, China, Ecuador, India, Thailand, and Vietnam, you may simply copy the data you provided for 2001, 2002, 2003, and January-June 2004 (see questions III-6, III-7, and III-8), leaving you full-year 2004 and January-June 2005 data to complete.

- III-2. Briefly describe your financial accounting system:

A. When does your fiscal year end (month and day)? _____

If your fiscal year changed during the periods for which data are being reported, explain below:

- B. 1. Describe the lowest level of operations (e.g., plant, division, company-wide) for which financial statements are prepared that include the subject merchandise _____
2. Does your firm prepare profit/loss statements for the subject merchandise: yes ___ no ___
3. How often does your firm (or parent) prepare financial statements (including annual reports, 10Ks)? Please check relevant items below:
Audited ___ unaudited ___ annual reports ___ 10Ks ___ 10Qs ___
Monthly ___ Quarterly ___ Semi-annually ___ Annually ___
Accounting basis: GAAP ___ cash ___ tax ___ Other comprehensive (specify) _____

Note: the Commission may request your company to submit copies of your financial statements including internal profit/loss statements.

- III-3. a) Briefly describe your cost accounting system (e.g., standard cost, job order, ABC, etc.)

- b) Identify your firm's inventory cost assumption: FIFO ___ LIFO ___
Other (describe) _____

PART III.--FINANCIAL INFORMATION--*Continued*

- III-4. Briefly describe your questionnaire submission methodology, including the allocation basis, if any, for COGS, SG&A, interest expense, and other income and expenses. Please indicate whether, how, and when that methodology might have changed during the reporting period.

- III-5. Other products.--Please list any other products you produced in the facilities in which you produced certain frozen warmwater shrimp and prawns, and provide the share of net sales accounted for by these other products in your most recent fiscal year:

Product(s)	Share of sales
<hr/>	<hr/>
<hr/>	<hr/>
<hr/>	<hr/>

PART III.--FINANCIAL INFORMATION--Continued

- III-6. Operations on certain frozen warmwater shrimp and prawns.--Report the revenue and related cost information requested below on the certain frozen warmwater shrimp and prawns operations of your U.S. establishment(s).¹ Note that internal consumption and transfers to related firms must be valued at fair market value and purchases from related firms must be at cost. Provide data for your three most recently completed fiscal years in chronological order from left to right, and for the specified interim periods. **If your firm was involved in tolling operations (either as the toller or as the tollee) please contact John Ascienzo at (202) 205-3175; john.ascienzo@usitc.gov before completing this section of the questionnaire.**

(Quantity in 1,000 pounds, value in \$1,000)						
Item	Fiscal years ended--				January-June	
	_____	_____	_____	_____	2004	2005
Net sales quantities:²						
Commercial sales						
Internal consumption						
Transfers to related firms						
Total net sales quantities						
Net sales values:²						
Commercial sales						
Internal consumption						
Transfers to related firms						
Total net sales values						
Cost of goods sold (including internal consumption and transfers to related firms):						
Raw materials:						
Shrimp and prawns:						
Procured domestically						
Imported						
Other						
Direct labor						
Other factory costs						
Total cost of goods sold						
Gross profit or (loss)						
Selling, general, and administrative (SG&A) expenses:						
Selling expenses						
General and administrative expenses						
Total SG&A expenses						
Operating income or (loss)						
Other income and expenses:						
Interest expense						
All other expense items						
All other income items						
All other income or expenses, net						
Net income or (loss) before income taxes						
Depreciation/amortization included above						
¹ Include only sales (whether domestic or export) and costs related to your U.S. manufacturing operations. ² Less discounts, returns, allowances, and prepaid freight. The quantities and values should approximate the corresponding shipment quantities and values reported in Part II of this questionnaire.						

PART III.--FINANCIAL INFORMATION--Continued

III-7. Was your firm involved in a toll agreement (either as the toller or as the tollee) in the production of certain frozen warmwater shrimp and prawns?

☐ No ☐ Yes—Complete the section below

Identify the name of the company your firm was engaged in a toll agreement with, the contact person and phone number at that firm, a description of the toll work performed under the toll agreement, and the volume and value of the toll work for each of the three most recently completed fiscal years and the specified interim periods.

Company name: _____

Contact and phone number: _____

Description of work performed: _____

(Quantity in 1,000 pounds, value in \$1,000)						
	Fiscal year ending				January-June	
	20____	20____	20____	20____	2004	2005
Net sales (quantity)						
Net sales (value)						
Cost of goods sold						
SG&A expenses						
Operating income or (loss)						

III-8. Capital expenditures and research and development expenditures.--Report your firm's capital expenditures and research and development expenditures on certain frozen warmwater shrimp and prawns. Provide data for your three most recently completed fiscal years in chronological order from left to right, and for the specified interim periods.

(Value in \$1,000)						
Item	Fiscal years ended--				January-June	
	_____	_____	_____	_____	2004	2005
Capital expenditures						
Research and development expenditures						

PART III.--FINANCIAL INFORMATION--Continued

IF YOUR ANSWERS TO QUESTIONS II-9 AND III-10 ARE DIFFERENT FOR INDIA AND THAILAND, PLEASE RESPOND SEPARATELY FOR EACH COUNTRY.

III-9. Since July 1, 2004, has your firm experienced any actual negative effects on its return on investment or its growth, investment, ability to raise capital, existing development and production efforts (including efforts to develop a derivative or more advanced version of the product), or the scale of capital investments as a result of imports of certain frozen warmwater shrimp and prawns from India and/or Thailand?

☐ No ☐ Yes--My firm has experienced actual negative effects as follows:

Cancellation, postponement, or rejection of expansion projects ☐

Denial or rejection of investment proposal ☐

Reduction in the size of capital investments ☐

Rejection of bank loans ☐

Lowering of credit rating ☐

Problem related to the issue of stocks or bonds ☐

Other (specify) _____

III-10. If the antidumping duty orders on certain frozen shrimp and prawns from India and/or Thailand were removed (i.e., tariffs were lifted), does your firm anticipate any negative impact of imports of certain frozen shrimp and prawns from India or Thailand?

☐ No ☐ Yes--My firm anticipates negative effects as follows:

PART III.--FINANCIAL INFORMATION--Continued

III-11. **Asset values.**--Report the total assets associated with the production, warehousing, and sale of certain frozen warmwater shrimp and prawns. If your firm does not maintain some or all of the specific asset data in the normal course of business, please estimate it based upon some rational method (such as production, sales, or costs) that is consistent with your cost allocations in the previous question. Your inventory value should reconcile with the inventory quantity data reported in Part II. Provide data for your three most recently completed fiscal years in chronological order from left to right.

(Value in \$1,000)				
Value of	Fiscal years ended--			
	_____	_____	_____	_____
Assets associated with the production, warehousing, and sale of product:				
1. Current assets:				
A. Cash and equivalents				
B. Accounts receivable, net				
C. Inventories				
D. Short-term investments				
E. Prepaid expenses				
F. Property held for resale				
G. Other (describe _____)				
H. Total current assets (lines 1.A. through 1.G.)				
2. Notes receivable				
3. Long-term investments				
4. Property, plant, and equipment (PPE)				
A. Original cost of property, plant, and equipment				
B. Less: Accumulated depreciation				
C. Equals: Book value of PPE				
5. Goodwill				
6. Other (describe _____)				
7. Other (describe _____)				
8. Total assets (lines 1.H., 2, 3, 4.C., 5, 6, and 7)				

PART IV.--PRICING AND RELATED INFORMATION

Further information on this part of the questionnaire can be obtained from **John Benedetto** (202-205-3270; john.benedetto@usitc.gov).

IF YOUR ANSWERS TO ANY QUESTIONS IN THIS SECTION ARE DIFFERENT FOR INDIA AND THAILAND, PLEASE RESPOND SEPARATELY FOR EACH COUNTRY.

NOTE: "Imposition of antidumping duties" refers to antidumping duties in place on imports of certain warmwater shrimp and prawns from India and Thailand that first became effective August 4, 2004. "Tsunami" refers to the December 26, 2004 tsunami that struck India and Thailand.

Section IV.--PRICE-RELATED QUESTIONS

IV-1. Who should be contacted regarding the requested pricing and related information?

Company contact:

Name and title

Phone No.

E-mail address

IV-2. Have there been any changes in your firm's pricing methods or discounts for sales of certain frozen warmwater shrimp and prawns since July 1, 2004?

Please check ALL that apply.

☐

No.

☐

Yes, as a result of the impact of the tsunami. Please explain below.

☐

Yes, as a result of the impact of the imposition of antidumping duties. Please explain below.

☐

Yes, as a result of another reason, _____. Please explain below.

IV-3. How have overall prices within the United States for certain frozen warmwater shrimp and prawns changed since July 1, 2004?

☐

Increased

☐

Unchanged

☐

Decreased

If increased or decreased, please check ALL that apply.

☐

Increased/decreased, as a result of the impact of the tsunami. Please explain below.

☐

Increased/decreased, as a result of the impact of the imposition of antidumping duties. Please explain below.

☐

Increased/decreased, as a result of another reason, _____. Please explain below.

PART IV.--PRICING AND RELATED INFORMATION--Continued

Section IV-B.--PRICE-RELATED QUESTIONS--Continued

IV-4. Has your firm observed any significant changes in the price of certain frozen warmwater shrimp and prawns from India and/or Thailand in the United States since July 1, 2004?

☐ Increased ☐ Unchanged ☐ Decreased

If increased or decreased, please check ALL that apply.

☐ Increased/decreased, as a result of the impact of the tsunami. Please explain below.

☐ Increased/decreased, as a result of the impact of the imposition of antidumping duties.
Please explain below.

☐ Increased/decreased, as a result of another reason, _____.
Please explain below.

IV-5. How has the demand within the United States (and outside the United States if known) for certain frozen warmwater shrimp and prawns changed since July 1, 2004?

☐ Increased ☐ Unchanged ☐ Decreased

If increased or decreased, please describe changes and supply reasons.

PART IV.--PRICING AND RELATED INFORMATION--Continued

Section IV-B.--PRICE-RELATED QUESTIONS--Continued

IV-6. Have there been any significant changes in the product range or marketing of certain frozen warmwater shrimp and prawns since July 1, 2004?

Please check ALL that apply.

☐ No.

☐ Yes, as a result of the impact of the tsunami. Please explain below.

☐ Yes, as a result of the impact of the imposition of antidumping duties. Please explain below.

☐ Yes, as a result of another reason, _____. Please explain below.

IV-7. Has your firm observed any significant changes in the presence of certain frozen warmwater shrimp and prawns from India and/or Thailand in the United States? Please include delays and cancellations as well as changes in availability.

Please check ALL that apply.

☐ No.

☐ Yes, as a result of the impact of the tsunami. Please explain below.

☐ Yes, as a result of the impact of the imposition of antidumping duties. Please explain below.

☐ Yes, as a result of another reason, _____. Please explain below.

PART IV.--PRICING AND RELATED INFORMATION--Continued

Section IV-B.--PRICE-RELATED QUESTIONS--Continued

- IV-8. Has there been any change in the interchangeability between certain frozen warmwater shrimp and prawns from the United States compared to certain frozen warmwater shrimp and prawns from India and Thailand since July 1, 2004?

Please check ALL that apply.

☐ No.

☐ Yes, as a result of the impact of the tsunami. Please explain below.

☐ Yes, as a result of the impact of the imposition of antidumping duties. Please explain below.

☐ Yes, as a result of another reason, _____. Please explain below.
